

PTO/SB/96 (08-40)

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Elizabeth M. Denholm, Yong-Qing Lin, and Paul J. Silver
 Application No./Patent No.: 09/715,965 Filed/Issue Date: November 17, 2000
 Entitled: ATTENUATION OF TUMOR GROWTH, METASTASIS AND ANGIOGENESIS
IBEX Pharmaceuticals, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by, percentage) of its ownership interest is _____ %

In the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
 2. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
 3. From: _____ To: _____
 The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐
- Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

5-23-01

Date

Robert Heft

Typed or printed name

President

Signature

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Elizabeth M. Denholm, Yong-Qing Lin, and Paul J. Silver

Serial No.: 09/715,965

Group Art Unit: Not yet assigned

Filed: November 17, 2000

Examiner: Not yet assigned

For: ATTENUATION OF TUMOR GROWTH, METASTASIS AND
ANGIOGENESIS

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF DECLARATIONS FOR PATENT APPLICATION

Sir:

Applicants enclose the following for filing in the above-identified application:

1. Declaration for Patent Application executed by Elizabeth M. Denholm;
2. Declaration for Patent Application executed by Yong-Qing Lin;
3. Declaration for Patent Application executed by Paul J. Silver; and
4. Check in the amount of \$65.00 for the small entity surcharge for late filing the

Declaration for Patent Application.

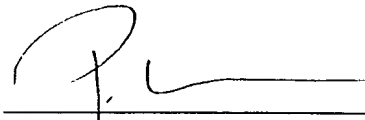
This application is entitled to claim small entity status pursuant to 37 C.F.R. § 1.27.

Applicants have not yet received the Notice to File Missing Parts of Nonprovisional Application, or the official Filing Receipt.

U.S.S.N.: 09/715,965
Filed: November 17, 2000
**TRANSMITTAL OF DECLARATIONS
FOR PATENT APPLICATION**

Please charge any other fees due, or credit any overpayment, in connection with this matter to Deposit Account No. 01-2507. A duplicate of this transmittal is enclosed to facilitate this process.

Respectfully submitted,



Patrea L. Pabst
Reg. No. 31,284

Date: March 16, 2001

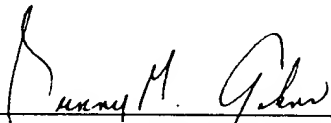
ARNALL GOLDEN & GREGORY, LLP
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, Georgia 30309-3450
404-873-8794
404-873-8795 (fax)

U.S.S.N.: 09/715,965
Filed: November 17, 2000
TRANSMITTAL OF DECLARATIONS
FOR PATENT APPLICATION



CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this Transmittal of Declarations for Patent Application, together with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.



Sunny G. Johns

Date: March 16, 2001



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Page 1 of 1

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COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/715,965	11/17/2000		IT 106

CONFIRMATION NO. 7982

FORMALITIES LETTER



OC000000005982035

Patrea L. Pabst
Arnall Golden & Gregory, LLP
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, GA 30309-3450

Date Mailed: 04/18/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.

*A copy of this notice **MUST** be returned with the reply.*

Harmon W. Thompson

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/715,965	11/17/2000	1614	420	IT 106	5	18	2

CONFIRMATION NO. 7982

FILING RECEIPT



OC000000005982034

Patrea L. Pabst
Arnall Golden & Gregory, LLP
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, GA 30309-3450

Date Mailed: 04/18/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Elizabeth M. Denholm, Pointe Claire, Quebec, CANADA;
Yong-Qing Lin, Montreal, Quebec, CANADA;
Paul J. Silver, Spring City, Pennsylvania

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/165,957 11/17/1999

Foreign Applications

If Required, Foreign Filing License Granted 04/18/2001

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Attenuation of tumor growth, metastasis and angiogenesis

Preliminary Class

514

Docketed for _____

By: JPBDate: 4-26-01

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PATENT DEPT.

Team : OIPE

~~_____~~

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicants: Elizabeth M. Denholm, Yong-Qing Lin, and Paul J. Silver

Serial No.: 09/715,965

Group Art Unit: 1614

Filed: November 17, 2000

Examiner: Not yet assigned

For: ATTENUATION OF TUMOR GROWTH, METASTASIS AND
ANGIOGENESIS

#4
M. Q. J.
7/5/01

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION AND
REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Responsive to the Notice to File Missing Parts of Nonprovisional Application, mailed April 18, 2001, applicants enclose copies of the following filed March 16, 2001, in the above-identified application:

1. Transmittal of Declarations for Patent Application with Certificate of Mailing Under 37 C.F.R. § 1.8(a);
2. Declaration for Patent Application executed by Elizabeth M. Denholm;
3. Declaration for Patent Application executed by Yong-Qing Lin;
4. Declaration for Patent Application executed by Paul J. Silver;
5. Check in the amount of \$65.00 for the small entity surcharge for late filing the Declaration for Patent Application; and

6. Return postcard indicating receipt by the Patent Office of the documents in Nos. 1-5 on March 19, 2001.

This application is entitled to claim small entity status pursuant to 37 C.F.R. § 1.27.

Applicants enclose a (a) Power of Attorney by Assignee of Entire Interest and Revocation of Prior Powers executed by IBEX Pharmaceuticals, Inc; and (b) Statement Under 37 C.F.R. § 3.73(b) executed by IBEX Pharmaceuticals, Inc, with attached copy of the executed Assignment from Elizabeth M. Denholm, Yong-Qing Lin, and Paul J. Silver to IBEX Pharmaceuticals, Inc. Please note that the new correspondence address is:

**Patrea L. Pabst, Esq.
Holland & Knight LLP
Suite 2000, One Atlantic Center
1201 West Peachtree Street, N.E.
Atlanta, Georgia 30309-3400**

Also enclosed is a copy of the Notice to File Missing Parts of Nonprovisional Application, mailed April 18, 2001. Applicants did not receive the Notice or the official Filing Receipt until April 24, 2001.

No fees are due at this time. However, should any fee be due, please charge such fee, or credit any overpayment in connection with this matter, to Deposit Account No. 50-1667.

A duplicate of this transmittal is enclosed to facilitate this process.

Request for Corrected Filing Receipt

Applicants respectfully request a corrected Filing Receipt to correct the omission of the applicants' names. The applicants are:

Elizabeth M. Denholm, Pointe Claire, Quebec, CANADA;

Yong-Qing Lin, Montreal, Quebec, CANADA; and

Paul J. Silver, Spring City, Pennsylvania.

Applicants have enclosed a copy of the official Filing Receipt with the corrections noted in red.

Respectfully submitted,



Patrea L. Pabst
Reg. No. 31,284

Date: June 12, 2001

HOLLAND & KNIGHT LLP
Suite 2000, One Atlantic Center
1201 West Peachtree Street, N.E.
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U.S.S.N.: 09/715,965
Filed: November 17, 2000
RESPONSE TO NOTICE TO FILE MISSING
PARTS OF NONPROVISIONAL APPLICATION
AND REQUEST FOR CORRECTED FILING RECEIPT



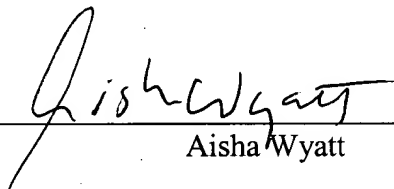
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CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this Response to Notice to File Missing Parts of Nonprovisional Application and Request for Corrected Filing Receipt, together with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231.


Aisha Wyatt

Date: June 13, 2001

ATL1 #385341 v1